

A

PTO/SB/05 (11-00)
Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | |
|------------------------|---------------|
| Express Mail Label No. | EL694443085US |
|------------------------|---------------|

(Only for new nonprovisional applications under 37 CFR 1.53(b))

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings *(if filed)*
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets

5. Oath or Declaration [Total Pages]

a. ☐ Newly executed (original or copy)
 b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 10/200,000

Prior application information

Examiner

Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been intentionally omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ *Customer Number or Bar Code Label*

or ☐ Correspondence address below

| | |
|------|-----------------|
| Name | COBRIN & GITTES |
|------|-----------------|

750 Lexington Avenue - 21st Floor

Address

| | |
|------|----------|
| City | New York |
|------|----------|

State

NY

Zip Code

10022

Country

USA

Telephone

212-4864000

Fax

212-4864007

Name (Print/Type)

Robert J. Hess

Registration No. (Attorney/Agent)

32.139

Signature

Robert J. Fox

Date _____

29 DEC 00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

804

| | | | | | | | | | | | |
|--|--|--------------|--|----------------|--|-----------------------------------|--|--|--|------------------|--|
| FEE TRANSMITTAL for FY 2001 <i>Patent fees are subject to annual revision. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i> | | | | | | Complete if Known | | | | | |
| | | | | | | Application Number | | To be assigned | | | |
| | | | | | | Filing Date | | Concurrently herewith | | | |
| | | | | | | First Named Inventor | | Shiquan WU et al | | | |
| | | | | | | Group Art Unit | | To be assigned | | | |
| | | | | | | Examiner | | To be assigned | | | |
| TOTAL AMOUNT OF PAYMENT | | | | (\$) | | 1.278 00 | | Attorney Docket Number | | NTL-3 2 142/3516 | |
| METHOD OF PAYMENT (check one) | | | | | | FEE CALCULATION (continued) | | | | | |
| 1. <input type="checkbox"/> The Commissioner is authorized to charge indicated fees and credit any overpayments to Deposit Account Number: Deposit Account Name: COBRIN & GITTES <input type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 and 1.17 | | | | | | 3. ADDITIONAL FEES | | | | | |
| | | | | | | Large Entity | | Small Entity | | | |
| Code | | (\$) | | Code | | (\$) | | Fee Description | | Fee Paid | |
| 105 | | 130 | | 205 | | 65 | | Surcharge - Late filing fee or oath | | | |
| 127 | | 50 | | 227 | | 25 | | Surcharge - late provisional filing fee or cover sheet | | | |
| 139 | | 130 | | 139 | | 130 | | Non-English specification | | | |
| 147 | | 2,520 | | 147 | | 2,520 | | Request for Reexamination | | | |
| 112 | | 920* | | 112 | | 920* | | Req. publication of SIR prior to Examiner action | | | |
| 113 | | 1,840 | | 113 | | 1,840 | | Requesting publication of SIR after Examiner action | | | |
| 115 | | 110 | | 215 | | 55 | | Extension within first month | | | |
| 116 | | 390 | | 216 | | 195 | | Extension within second month | | | |
| 117 | | 890 | | 217 | | 445 | | Extension within third month | | | |
| 118 | | 1,390 | | 218 | | 695 | | Extension within fourth month | | | |
| 128 | | 1,890 | | 228 | | 945 | | Extension within fifth month | | | |
| 119 | | 310 | | 219 | | 155 | | Notice of Appeal | | | |
| 120 | | 310 | | 220 | | 155 | | Brief in support of an appeal | | | |
| 121 | | 270 | | 221 | | 135 | | Request for oral hearing | | | |
| 138 | | 1,510 | | 138 | | 1,510 | | Petition to institute a public use proceeding | | | |
| 140 | | 110 | | 240 | | 55 | | Petition to revive - unavoidable | | | |
| 141 | | 1,210 | | 241 | | 605 | | Petition to revive - unintentional | | | |
| 142 | | 1,240 | | 241 | | 620 | | Utility issue fee (or reissue) | | | |
| 143 | | 440 | | 243 | | 220 | | Design issue fee | | | |
| 144 | | 600 | | 244 | | 300 | | Plant issue fee | | | |
| 122 | | 130 | | 122 | | 130 | | Petitions to the Commissioner | | | |
| 123 | | 50 | | 123 | | 50 | | Petitions related to provisional applications | | | |
| 126 | | 240 | | 126 | | 240 | | Submit Info. Disclosure Stmt | | | |
| 581 | | 40 | | 581 | | 40 | | Patent Assignment per property | | \$ 40 00 | |
| 146 | | 710 | | 246 | | 355 | | Filing a submission after final rejection (37 CFR 1.129(a)) | | | |
| 149 | | 710 | | 249 | | 355 | | For each additional invention to be examined (37 CFR 1.129(b)) | | | |
| SUBTOTAL (1) | | | | (\$) | | 710 00 | | | | | |
| 2. EXTRA CLAIM FEES | | | | | | | | | | | |
| | | | | Extra Claim | | Fee below | | Fee Due | | | |
| Total Claims | | 36 | | -20 = | | 16 x | | 9 or 18 | | \$288 00 | |
| Indep. Claims | | 6 | | -3 = | | 3 x | | 40 or 80 | | \$ 240 00 | |
| Multiple Dependent | | | | 130 | | \$ | | | | | |
| ** or number previously paid, if greater; for reissues, see below | | | | | | | | | | | |
| Large Entity | | Small Entity | | | | | | | | | |
| Code | | (\$) | | Code | | (\$) | | Fee Description | | | |
| 103 | | 18 | | 203 | | 9 | | Claims in excess of 20 | | | |
| 102 | | 80 | | 202 | | 40 | | Independent claims in excess of 3 | | | |
| 104 | | 270 | | 204 | | 135 | | Multiple dependent claim, if not paid | | | |
| 109 | | 80 | | 209 | | 40 | | **Reissue independent claims over original patent | | | |
| 110 | | 18 | | 210 | | 9 | | **Reissue claims in excess of 20 and over original patent | | | |
| SUBTOTAL (2) | | | | (\$) | | 528 00 | | Other fee (specify) _____ | | | |
| | | | | | | *Reduced by Basic filing fee Paid | | SUBTOTAL (3) | | \$ 40 00 | |
| SUBMITTED BY | | | | | | Complete (if applicable) | | | | | |
| Typed or Printed Name | | | | Robert J. Hess | | Registration Number | | 32,139 | | | |
| Signature | | | | | | Date | | December 29, 2000 | | | |